



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: E. Iwata

Serial No.: 09/352,422

Filed: July 12, 1999

For: ENCODING APPARATUS AND  
METHOD OF SAME AND DECODING  
APPARATUS AND METHOD OF SAME

Case No.: 9792909-4938

Group Art Unit: 2743

**Certificate of Mailing (37 CFR 1.8(a))**

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the:

Assistant Commissioner for Patents  
Washington, D.C. 20231, on:

Date of Deposit: April 3, 2001

*Jo Ellen Hogan*  
Jo Ellen Hogan

4/3/01  
Date

**TRANSMITTAL LETTER**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed herewith is a Revocation and Power of Attorney in the above-identified patent application.

Also enclosed are: Copy of Recorded Assignment  
Return Receipt Postcard

Applicant's former counsel, Limbach & Limbach, has gone out of business, and forwarding of mail has been sporadic, at best. If any correspondence has been issued since January 1, 2001, please forward a copy to us as we cannot guarantee that it has been received by applicant, or applicant's current or former counsel.

The Commissioner is hereby authorized to charge any additional fees required, as well as any patent application processing fees associated with this communication for which full payment has not been tendered, to Deposit Account No. 19-3140. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

SONNENSCHN NATH & ROSENTHAL

SONNENSCHN NATH & ROSENTHAL  
P.O. Box 061080  
Wacker Drive Station  
Sears Tower  
Chicago, Illinois 60606-1080  
Telephone: (312) 876-8000

By:

*David R. Metzger*  
David R. Metzger  
Registration No. 32,919

RECEIVED  
APR 09 2001  
Technology Center 2600

To the Commissioner of Patents and Trademarks, please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

EIJI IWATA

Additional name(s) of conveying party(ies) attached?

☐ Yes☒ No

## 3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: August 31, 1999

## 2. Name and address of receiving party(ies):

Name: Sony Corporation

Internal Address: \_\_\_\_\_

Street Address: 7-35, Kitashinagawa 6-ChomeCity, State and Zip: Shinagawa-ku, Tokyo, 141-0001 JAPAN

Additional Name(s) &amp; address(es) attached?

☐ Yes☒ No**RECEIVED**  
**APR 09 2001**  
Technology Center

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No. 09/352,422  
B. Filed: July 12, 1999

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Charles P. Sammut

Internal Address: Limbach & Limbach L.L.P.  
Street Address: 2001 Ferry Building  
City, State, ZIP: San Francisco, California 94111  
Telephone: (415) 433-4150  
Facsimile: (415) 433-8716

Attorney Docket No. SONY-P97996. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41):.....\$ 40.00

- ☒ Enclosed  
☒ Charge any deficiencies in the enclosed fee to  
Deposit Account No. 12-1420  
☐ Authorized to be charged to deposit account

8. Deposit account number: 12-1420**DO NOT USE THIS SPACE**

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Charles P. Sammut, Reg. No. 28,901

Name of Person Signing

Signature

Date

September 7, 1999Total number of pages including cover sheet, attachments and document: 2

09/13/1999 MTHAI1 00000213 09352422

01 FC:581

40.00 CP

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20213, and to the Office of Management and Budget, Paperwork Reduction Project, (0651-0011), Washington, D.C. 20503

## ASSIGNMENT

WHEREAS, I, as a below named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in ENCODING APPARATUS AND METHOD OF SAME AND DECODING APPARATUS AND METHOD OF SAME

for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, Sony Corporation, a Japanese corporation with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-Ku, Tokyo, Japan (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: Serial Number: 09/352,422, Filing Date: 7/12/1999.

This assignment executed on the dates indicated below.

EIJI IWATA

Name of first or sole inventor

Execution date of U.S. Patent Application

KANAGAWA, JAPAN

Residence of first or sole inventor

Eiji Iwata

August 31, 1999

Signature of first or sole inventor

Date of this assignment



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

NOVEMBER 12, 1999

PTAS

LIMBACH & LIMBACH L.L.P.  
CHARLES P. SAMMUT  
2001 FERRY BUILDING  
SAN FRANCISCO, CALIFORNIA 94111



\*101144937A\*

RECEIVED

NOV 22 1999

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

LIMBACH & LIMBACH

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/10/1999

REEL/FRAME: 010224/0826  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
IWATA, EIJI

DOC DATE: 08/31/1999

ASSIGNEE:  
SONY CORPORATION  
7-35, KITASHINAGAWA 6-CHOME  
SHINAGAWA-KU, TOKYO, 141-0001,  
JAPAN

RECEIVED

APR 09 2001

Technology Center 2600

SERIAL NUMBER: 09352422  
PATENT NUMBER:

FILING DATE: 07/12/1999  
ISSUE DATE:

SONYA JOHNSON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS